Serial Number: 09/811 824   16C1 #9

CRF Processing Date: 11/06/01
Edited by: MH
Verified by: _____

☐ Changed a file from non-ASCII to ASCII

☐ Changed the margins in cases where the sequence text was "wrapped" down to the next line

☐ Edited a format error in the Current Application Data section, specifically: _____

☐ Edited the Current Application Data section with the actual current number. The number input applicant was ☐ the prior application data; or ☐ other _____

☐ Added the mandatory heading and subheadings for "Current Application Data".

☐ Edited the "Number of Sequences" field. The applicant spelled out a number instead of using

☐ Changed the spelling of a mandatory field (the headings or subheadings), specifically: _____

☐ Corrected the SEQ ID NO when obviously incorrect. The sequence numbers that were edited _____

☐ Inserted or corrected a nucleic number at the end of a nucleic line. SEQ ID NO's edited: _____

ENTERED

☐ Corrected subheading placement. All responses must be on the same line as each subheading applicant placed a response below the subheading, this was moved to its appropriate place.

☐ Inserted colons after headings/subheadings. Headings edited included: _____

☐ Deleted extra, invalid, headings used by an applicant, specifically: _____

☐ Deleted: ☐ non-ASCII "garbage" at the beginning/end of files; ☐ secretary initials/filename a ☐ page numbers throughout text; ☐ other invalid text, such as _____

☑ Inserted mandatory headings, specifically: *Header Field 220 sequence ID number 3*

☐ Corrected an obvious error in the response, specifically: _____

☐ Edited identifiers where upper case is used but lower case is required, or vice versa.

☐ Corrected an error in the Number of Sequences field, specifically: _____

☐ A "Hard Page Break" code was inserted by the applicant. All occurrences had to be deleted.

☐ Deleted *ending* stop codon in amino acid sequences and adjusted the "(A)Length:" field according due to a PatentIn bug). Sequences corrected: _____

☐ Other: _____
_____
_____
_____

*Examiner: The above corrections must be communicated to the applicant in the first C Action. DO NOT send a copy of this form.

RAW SEQUENCE LISTING   DATE: 11/13/2001
PATENT APPLICATION: US/09/811,824   TIME: 10:32:52

Input Set : A:\SEQUENCE LISTING.pto.mph.txt
Output Set: N:\CRF3\11092001\I811824.raw

```
 4 <110> APPLICANT: Anderson, George P.
 5         Mattoussi, Hedi
 6         Mauro, J. Matthew
 7         Bawendi, Moungi G.
 8         Sundar, Vikram C.
10 <120> TITLE OF INVENTION: INORGANIC PARTICLE CONJUGATES
12 <130> FILE REFERENCE: 01997-282001
14 <140> CURRENT APPLICATION NUMBER: US 09/811,824
15 <141> CURRENT FILING DATE: 2001-03-20
17 <150> PRIOR APPLICATION NUMBER: US 60/190,766
18 <151> PRIOR FILING DATE: 2000-03-20
20 <160> NUMBER OF SEQ ID NOS: 7
22 <170> SOFTWARE: FastSEQ for Windows Version 4.0
24 <210> SEQ ID NO: 1
25 <211> LENGTH: 21
26 <212> TYPE: DNA
27 <213> ORGANISM: Artificial Sequence
29 <220> FEATURE:
30 <223> OTHER INFORMATION: Synthetically generated primer
32 <400> SEQUENCE: 1
33 tgcggtggct cagctcagtt g                                          21
35 <210> SEQ ID NO: 2
36 <211> LENGTH: 33
37 <212> TYPE: DNA
38 <213> ORGANISM: Artificial Sequence
40 <220> FEATURE:
41 <223> OTHER INFORMATION: Synthetically generated primer
43 <400> SEQUENCE: 2
44 gctctagatt aatccccacc ctgggcgagt ttc                             33
46 <210> SEQ ID NO: 3
47 <211> LENGTH: 33
48 <212> TYPE: DNA
49 <213> ORGANISM: Artificial Sequence
51 <220> FEATURE:
52 <223> OTHER INFORMATION: Synthetically generated primer
54 <400> SEQUENCE: 3
55 gctctagatg aatccccacc ctgggcgagt ttc                             33
58 <210> SEQ ID NO: 4
59 <211> LENGTH: 34
60 <212> TYPE: DNA
61 <213> ORGANISM: Artificial Sequence
63 <220> FEATURE:
64 <223> OTHER INFORMATION: Synthetically generated primer
66 <400> SEQUENCE: 4
67 ctagcggtca ccaccaccac caccactgac tgca                            34
69 <210> SEQ ID NO: 5
70 <211> LENGTH: 26
```

ENTERED

No Errors

RAW SEQUENCE LISTING   DATE: 11/13/2001
PATENT APPLICATION: US/09/811,824   TIME: 10:32:52

Input Set : A:\SEQUENCE LISTING.pto.mph.txt
Output Set: N:\CRF3\11092001\I811824.raw

```
71 <212> TYPE: DNA
72 <213> ORGANISM: Artificial Sequence
74 <220> FEATURE:
75 <223> OTHER INFORMATION: Synthetically generated primer
77 <400> SEQUENCE: 5
78 gtcagtggtg gtggtggtgg tgaccg                                        26
80 <210> SEQ ID NO: 6
81 <211> LENGTH: 105
82 <212> TYPE: DNA
83 <213> ORGANISM: Artificial Sequence
85 <220> FEATURE:
86 <223> OTHER INFORMATION: Synthetically generated primer
88 <400> SEQUENCE: 6
89 tcagctcagt tgaaaaaaaa attgcaagca ctgaagaaaa agaacgctca gctgaagtgg   60
90 aaacttcaag ccgtcaagaa gaaactcgcc cagggtgggg attca                  105
92 <210> SEQ ID NO: 7
93 <211> LENGTH: 35
94 <212> TYPE: PRT
95 <213> ORGANISM: Artificial Sequence
97 <220> FEATURE:
98 <223> OTHER INFORMATION: Synthetically generated peptide
100 <400> SEQUENCE: 7
101 Ser Ala Gln Leu Lys Lys Lys Leu Gln Ala Leu Lys Lys Lys Asn Ala
102  1               5                  10                  15
103 Gln Leu Lys Trp Lys Leu Gln Ala Leu Lys Lys Lys Leu Ala Gln Gly
104             20                  25                  30
105 Gly Asp Ser
106          35
```

VERIFICATION SUMMARY   DATE: 11/13/2001
PATENT APPLICATION: US/09/811,824   TIME: 10:32:53

Input Set : **A:\SEQUENCE LISTING.pto.mph.txt**
Output Set: **N:\CRF3\11092001\I811824.raw**

RAW SEQUENCE LISTING   DATE: 11/13/2001
PATENT APPLICATION: US/09/811,824   TIME: 10:25:10

Input Set : **A:\SEQUENCE LISTING.pto.mph.txt**
Output Set: **N:\CRF3\11092001\I811824.raw**

```
 4 <110> APPLICANT: Anderson, George P.
 5         Mattoussi, Hedi
 6         Mauro, J. Matthew
 7         Bawendi, Moungi G.
 8         Sundar, Vikram C.
10 <120> TITLE OF INVENTION: INORGANIC PARTICLE CONJUGATES
12 <130> FILE REFERENCE: 01997-282001
14 <140> CURRENT APPLICATION NUMBER: US 09/811,824
15 <141> CURRENT FILING DATE: 2001-03-20
17 <150> PRIOR APPLICATION NUMBER: US 60/190,766
18 <151> PRIOR FILING DATE: 2000-03-20
20 <160> NUMBER OF SEQ ID NOS: 7
22 <170> SOFTWARE: FastSEQ for Windows Version 4.0
```

ERRORED SEQUENCES

```
      46 <210> SEQ ID NO: 3
      47 <211> LENGTH: 33
      48 <212> TYPE: DNA
      49 <213> ORGANISM: Artificial Sequence
E--> 50 <200>
W--> 51 <220> FEATURE:
      51 <223> OTHER INFORMATION: Synthetically generated primer
      53 <400> SEQUENCE: 3
      54 gctctagatg aatccccacc ctgggcgagt ttc                          33
```

*Field 200 is erroneous
Should be field 220*

VERIFICATION SUMMARY   DATE: 11/13/2001
PATENT APPLICATION: **US/09/811,824**   TIME: 10:25:11

Input Set : **A:\SEQUENCE LISTING.pto.mph.txt**
Output Set: **N:\CRF3\11092001\I811824.raw**

L:50 M:250 E: Invalid Numeric Identifier, INVALID IDENTIFIER
L:51 M:258 W: Mandatory Feature missing, <220> FEATURE:

STATISTICS SUMMARY
PATENT APPLICATION: **US/09/811,824**

DATE: 11/13/2001
TIME: 10:25:11

Input Set : **A:\SEQUENCE LISTING.pto.mph.txt**
Output Set: **N:\CRF3\11092001\I811824.raw**

Application Serial Number: US/09/811,824
Alpha or Numeric: Numeric
Application Class:
Application File Date: 03-20-2001
Art Unit: OIPE
Software Application: FastSeq
Total Number of Sequences: 7
Total Nucleotides: 252
Total Amino Acids: 35
Number of Errors: 1
Number of Warnings: 1
Number of Corrections: 0

MESSAGE SUMMARY

250 E: 1 (Invalid Numeric Identifier)
258 W: 1 (Mandatory Feature missing)

RAW SEQUENCE LISTING   DATE: 11/06/2001
PATENT APPLICATION: US/09/811,824   TIME: 10:57:40

Input Set : **A:\SEQUENCE LISTING.TXT**
Output Set: **N:\CRF3\11062001\I811824.raw**

```
 4 <110> APPLICANT: Anderson, George P.
 5        Mattoussi, Hedi
 6        Mauro, J. Matthew
 7        Bawendi, Moungi G.
 8        Sundar, Vikram C.
10 <120> TITLE OF INVENTION: INORGANIC PARTICLE CONJUGATES
12 <130> FILE REFERENCE: 01997-282001
14 <140> CURRENT APPLICATION NUMBER: US 09/811,824
15 <141> CURRENT FILING DATE: 2001-03-20
17 <150> PRIOR APPLICATION NUMBER: US 60/190,766
18 <151> PRIOR FILING DATE: 2000-03-20
20 <160> NUMBER OF SEQ ID NOS: 7
22 <170> SOFTWARE: FastSEQ for Windows Version 4.0
```

ERRORED SEQUENCES

```
46 <210> SEQ ID NO: 3
47 <211> LENGTH: 33
48 <212> TYPE: DNA
49 <213> ORGANISM: Artificial Sequence          Delete
51 <200>
52 <220> FEATURE:
52 <223> OTHER INFORMATION: Synthetically generated primer
54 <400> SEQUENCE: 3
55 gctctagatg aatccccacc ctgggcgagt ttc                          33
```

E --> 51 <200>
W --> 52 <220>

Errored: Field 200 is an erroneous Field
Field 220 is mandatory prior
to field 221, 222 or 223

VERIFICATION SUMMARY   DATE: 11/06/2001
PATENT APPLICATION: **US/09/811,824**   TIME: 10:57:41

Input Set : **A:\SEQUENCE LISTING.TXT**
Output Set: **N:\CRF3\11062001\I811824.raw**

L:51 M:250 E: Invalid Numeric Identifier, INVALID IDENTIFIER
L:52 M:258 W: Mandatory Feature missing, <220> FEATURE:

STATISTICS SUMMARY
PATENT APPLICATION: US/09/811,824

DATE: 11/06/2001
TIME: 10:57:41

Input Set : **A:\SEQUENCE LISTING.TXT**
Output Set: **N:\CRF3\11062001\I811824.raw**

Application Serial Number: US/09/811,824
Alpha or Numeric: Numeric
Application Class:
Application File Date: 03-20-2001
Art Unit: OIPE
Software Application: FastSeq
Total Number of Sequences: 7
Total Nucleotides: 252
Total Amino Acids: 35
Number of Errors: 1
Number of Warnings: 1
Number of Corrections: 0

MESSAGE SUMMARY

250 E: 1 (Invalid Numeric Identifier)
258 W: 1 (Mandatory Feature missing)